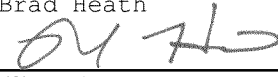


EPA United States Environmental Protection Agency Washington, DC 20460 Work Assignment						Work Assignment Number 0-08	
						<input type="checkbox"/> Other <input type="checkbox"/> Amendment Number:	
Contract Number EP-C-16-003			Contract Period 07/01/2016 to 06/30/2017 Base <input checked="" type="checkbox"/> Option Period Number			Title of Work Assignment / SF Site Name Management Evaluation of SAAP	
Contractor EASTERN RESEARCH GROUP, INC.				Specify Section and paragraph of Contract SOW See PWS			
Purpose: <input checked="" type="checkbox"/> Work Assignment <input type="checkbox"/> Work Assignment Close -Out <input type="checkbox"/> Work Assignment Amendment <input type="checkbox"/> Incremental Funding <input type="checkbox"/> Work Plan Approval						Period of Performance From 03/07/2017 to 06/30/2017	
Comments:							
<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Superfund Accounting and Appropriations Data <input checked="" type="checkbox"/> Non-Superfund </div>							
Note: To report additional accounting and appropriations data use EPA Form 1900-69A							
SFO <input type="checkbox"/> (Max 2)							
Line	CON (Max 6)	Budget/ FY (Max 4)	Appropriation Code (Max 6)	Budget Org/ Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars) (Cents) Site/ Project (Max 8) Cost Org/ Code
1							
2							
3							
4							
5							
Authorized Work Assignment Ceiling							
Contract Period: Cost/ Fee: LOE 07/01/2016 to 06/30/2017							
This Action:							
Total:							
Work Plan / Cost Estimate Approvals							
Contractor VP Dated : Cost/ Fee LOE							
Cumulative Approved : Cost/ Fee LOE							
Work Assignment Manager Name Frances Josephs <div style="display: flex; justify-content: space-between;"> <div>_____ (Signature)</div> <div>_____ (Date)</div> </div>						Branch/ Mail Code: Phone Number: 202-564-9541 FAX Number :	
Project Officer Name Tangela Cooper <div style="display: flex; justify-content: space-between;"> <div>_____ (Signature)</div> <div>_____ (Date)</div> </div>						Branch/ Mail Code: Phone Number: 202-566-0369 FAX Number :	
Other Agency Official Name Jamelya Curtis <div style="display: flex; justify-content: space-between;"> <div>_____ (Signature)</div> <div>_____ (Date)</div> </div>						Branch/ Mail Code: Phone Number: 415-972-3529 FAX Number :	
Contracting Official Name Brad Heath <div style="display: flex; justify-content: space-between;"> <div>  (Signature) </div> <div>3/7/2017 (Date)</div> </div>						Branch/ Mail Code: Phone Number: 513-487-2352 FAX Number :	

**PERFORMANCE WORK STATEMENT
CONTRACT EP-C-16-003
WORK ASSIGNMENT 0-08**

Title: Construction and Grant Management Evaluation of Special Appropriations Act Projects

Work Assignment Contracting Officer's Representative (WACOR):

Frances Josephs
US EPA
OWM (4204M)
1200 Pennsylvania Avenue, NW
Washington, DC 20460
(202) 564-2871
josephs.frances@epa.gov

Alternate Work Assignment Contracting Officer's Representative (AWACOR):

Jamelya Curtis
US EPA
75 Hawthorne Street (WTR1)
San Francisco, CA 94105
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Period of Performance: March 7, 2017 through June 30, 2017

BACKGROUND:

From Fiscal Year (FY) 1992 through FY 2010, Congress appropriated funding for over 3,900 identified State and Tribal Assistance Grants (STAG) earmarked for water-related infrastructure construction projects. These projects have resulted in significant water quality benefits. However, STAG project administration continues to challenge both EPA Regions and Headquarters due to resource requirements needed to award, manage, and evaluate these projects. In order to address this need, the FY 2001 Appropriations Act (P.L. 106-377) contains a provision that allows EPA to set aside up to three percent of the amount of each post FY 2000 STAG project to fund the management and oversight of these projects. Through this provision, EPA uses contractor support to evaluate post FY 2000 STAG projects for compliance with the conditions of their EPA grant and for consistency with their work plan.

OBJECTIVE:

The objective of this work assignment is to evaluate post FY 2000 STAG projects on-site and/or remotely. The on-site evaluations (Task 1) are intended to assess physical progress of construction and evaluate the grantee's compliance with the conditions of their EPA grant and

work plan. Procurement reviews (Task 2) are intended to evaluate a grantee's established procurement system or the compliance of specific procurements with EPA regulations and Disadvantaged Business Enterprise (DBE) rules. Financial management reviews (Task 3) are intended to evaluate compliance with EPA's cost principles and the statutory cost-share requirement. Environmental review support (Task 4) and NEPA decision compliance monitoring of post FY 2000 STAG projects are to be performed as requested by the EPA Regions.

The secondary purpose of this work assignment is to provide technical support to grantees related to STAG project management and oversight. Grantees may need troubleshooting and technical assistance during the course of the project.

The following deliverables are anticipated during the Base Period. The contractor is not to exceed the anticipated number of deliverables without a formal amendment and direction from the EPA WACOR. Please note that the reviews could fall under any applicable task.

R4: 8 on-site reviews

R5: 6 on-site reviews

R6: 5 on-site reviews

R9: 6 reviews

TASK DETAIL:

Task 0: Work plan and Budget Development

The contractor shall prepare a detailed work plan and budget for the accomplishment of the indicated tasks in accordance with the clause, B.2 WORK ASSIGNMENTS (EPAAR 1552.211-74). The work plan shall include a description of: (a) proposed staff; (b) an estimate of hours to be spent on each task by each staff person (prime and subcontractors); (c) a detailed estimate of travel expenses; and (d) a list of deliverables, with due dates and schedule for deliverables. This task also includes monthly progress reports and financial reports which shall conform to the requirements particularized to the REPORTS OF WORK clause in the contract.

In addition, a monthly LOE by task per Region template in the form of an excel spreadsheet will be provided by the WACOR prior to the issuance of the first invoice from the contractor, in order to track the actual work performed.

Task 1: Conduct On-site Project Evaluations

The contractor shall perform site visits for post FY 2000 STAG projects as requested by the EPA Regions. Project officers will enter on-site evaluation (OSE) requests into a shared online file. Technical direction to schedule and perform OSEs will be provided once when this Work Assignment 0-08 is issued, and will cover the full option period. The contractor shall check the shared file periodically to look for new or updated requests. Documentation for the review (e.g., grant agreements, work plans, etc.) will be uploaded by the project officer to a shared online folder. The contractor will request a copy of any other necessary documentation directly from the project officer. After performing the requisite conflict of interest review, the contractor shall make arrangements to conduct a site visit for the assigned projects. During all contact with individuals outside of EPA, contractor staff shall identify themselves as a contractor with EPA.

All communication with the Regional Project Officers or Grant Recipients must be documented and include the WACOR, as well, in such a manner that is the same as the correspondence conveyed.

During an OSE, the contractor shall review the appropriate grant and construction documents and conduct a walkthrough of the project site. The contractor shall complete the review using the standard evaluation form (Attachments 1 and 2)¹ during the site visit. The completed evaluation form, accompanied by a cover letter highlighting key finding and recommendations, shall be considered the evaluation report that is the required deliverable for this task.

No more than two site visits shall occur for a given project under this Work Assignment, unless specifically directed by the WACOR. Likewise, site visits should not be scheduled within six months of the date of the previous OSE (under this Work Assignment or the previous one), unless specifically directed by the WACOR.

The contractor shall try to minimize travel costs by utilizing appropriate staff from contractor offices (main, branch, or other) in general proximity to the state locations. The contractor shall also group evaluations into one trip to the extent practicable.

Evaluations shall typically be one work day in length at the project site and should be performed by engineers (Professional Engineers or Engineers-in-Training) where feasible. Additional time shall be estimated for scheduling visits, travel to and from the project site, and for follow-up activities such as completing the formal written evaluation report.

Deliverables for Task 1: An evaluation form (i.e., the standardized evaluation coversheet plus the on-site review insert) shall be completed for each OSE. (Note: in cases where two different reviews are performed together, i.e. an on-site review together with a financial management review, only one evaluation form should be generated with all applicable inserts included.) A draft report shall be provided to the project officer for comment no later than 21 business days after the date of the OSE. Upon receipt of the project officer's comments, final copies of evaluation reports shall be transmitted with a cover letter that highlights key findings/recommendations to the WAM, the project officer, and the grantee's representative.

Task 2: Conduct Procurement Reviews

The contractor shall evaluate procurement systems and procurement actions for post FY 2000 STAG projects as requested by the EPA Regions. Project officers will enter procurement review (PR) and procurement system review (PSR) requests into a shared online file. Technical direction to schedule and perform PRs and PSRs will be provided once when this Work Assignment 0-08 is issued and will cover the full option period. The contractor shall check the shared file periodically to look for new or updated requests. Documentation for the review (e.g., grant agreements, work plans, etc) will be uploaded by the project officer to a shared online folder. The contractor will request a copy of any other necessary documentation directly from the project officer.

¹ The contractor should be prepared for slight modifications to the evaluation form over the course of the WA based on feedback from the contractor, project officers, and grantees.

PR/PSRs can be done on-site or remotely. Remote reviews are used when a site visit is unnecessary (i.e. before substantial physical progress is made) or when reviews are difficult to complete on site due to the time and complexity involved. For remote PRs, the contractor shall initiate the PR using the standard email templates provided by the WAM after performing the requisite conflict of interest review. For on-site PRs, the contractor shall notify the grantee of the PR when scheduling the OSE. During all contact with individuals outside of EPA, contractor staff shall identify themselves as a contractor with EPA. All communication with the Regional Project Officers or Grant Recipients must be documented and include the WACOR, as well, in such a manner that is the same as the correspondence conveyed.

During a PR/PSR, the contractor shall review the appropriate documents and complete the standard evaluation form (Attachments 1 and 3).² Evaluations shall typically be one half to one full work day in length depending on the type and size of the review. When performed remotely, reviews should be completed no later than 5 business days after receiving ALL necessary materials. Additional time shall be estimated for coordinating with grant recipients to acquire all necessary documentation and for follow-up activities such as completing the formal written evaluation report.

Deliverables for Task 2: An evaluation form (i.e., the standardized evaluation coversheet and all applicable PR/PSR inserts) shall be completed for each PR/PSR. (Note: in cases where two different reviews are performed together, i.e. an OSE together with a PR/PSR, only one evaluation form should be generated with all applicable inserts included.) A draft report shall be provided to the project officer for comment no later than 21 business days after completion of the evaluation. Upon receipt of the project officer's comments, final copies of evaluation reports shall be transmitted with a cover letter that highlights key findings/recommendations to the WACOR, the CL-COR, and the grantee's representative.

The contractor shall also prepare a summary table with an explicit list of key findings for each PR/PSR conducted. The summary table is for EPA-use only—it will not be sent to grantees—and shall directly and completely describe the deficiencies encountered. Summary tables should be 1-2 pages in length in most cases (allowances will be made in circumstances where there are numerous contracts) and include regulatory references. The summary table shall be submitted to the project officer, EPA Regional Coordinator, and WAM **after** a final evaluation report has been distributed.

Task 3: Conduct Financial Management Reviews

The contractor shall review financial management of post FY 2000 STAG projects as requested by the EPA Regions. Project officers will enter financial management review (FMR) requests into a shared online file. Technical direction to schedule and perform FMRs will be provided once when this Work Assignment 0-08 is issued and will cover the full option period. The contractor shall check the shared file periodically to look for new or updated requests. Documentation for the review (e.g., grant agreements, work plans, etc) will be uploaded by the project officer to a shared online folder. The contractor will request a copy of any other necessary documentation directly from the project officer.

² The contractor should be prepared for slight modifications to the procurement review form over the course of the WA based on feedback from the contractor, project officers, and grantees.

FMRs can be done on-site or remotely. Remote reviews are used when a site visit is unnecessary (i.e. before substantial physical progress is made) or when reviews are difficult to complete on site due to the time and complexity involved. For remote FMRs, the contractor shall initiate the FMR using the standard email templates provided by the WAM after performing the requisite conflict of interest review. For on-site FMRs, the contractor shall notify the grantee of the FMR when scheduling the OSE. During all contact with individuals outside of EPA, contractor staff shall identify themselves as a contractor with EPA. All communication with the Regional Project Officers or Grant Recipients must be documented and include the WACOR, as well, in such a manner that is the same as the correspondence conveyed.

During an FMR, the contractor shall review the appropriate documents and complete the standard evaluation form (Attachments 1 and 4).³ Evaluations shall typically be one quarter to one half a work day in length depending on the type and size of the review. When performed remotely, reviews should be completed no later than 5 business days after receiving ALL necessary materials. Additional time shall be estimated for coordinating with grant recipients to acquire all necessary documentation and for follow-up activities such as completing the formal written evaluation report.

Deliverables for Task 3: An evaluation form (i.e., the standardized evaluation coversheet and FMR insert) shall be completed for each initial FMR.⁴ (Note: in cases where two different reviews are performed together, i.e. an OSE together with an FMR, only one evaluation form should be generated with all applicable inserts included.) A draft report shall be provided to the project officer for comment as soon as possible, but no later than 21 business days after completion of the evaluation. Upon receipt of the project officer's comments, final copies of evaluation reports shall be transmitted with a cover letter that highlights key findings/recommendations to the WACOR, the CL-COR, and the grantee's representative.

The contractor shall also prepare a summary table for FMRs that clearly shows pertinent grant financials and key findings for each FMR conducted. The summary table is for EPA-use only—it will not be sent to grantees—and shall clearly and completely describe any deficiencies encountered. Summary tables should be 1-2 pages in length in most cases. The summary table shall be submitted to the project officer, EPA Regional Coordinator, and WACOR **after** a final evaluation report has been distributed.

Task 4: Environmental Review Support

The contractor shall assist with the environmental review and NEPA decision compliance monitoring of post FY 2000 STAG projects as requested by the EPA Regions. Project officers will enter environmental review (ER) requests into a shared online file. Technical direction to schedule and perform ERs will be provided once when this Work Assignment 0-08 is issued and will cover the full option period. The contractor shall check the shared file periodically to look for new or updated requests. Documentation for the review (e.g., grant agreements, work plans,

³ The contractor should be prepared for slight modifications to the procurement review form over the course of the WA based on feedback from the contractor, project officers, and grantees.

⁴ Only one full deliverable is required per grant per option period. The deliverable for follow-up FMR requests for the same grant will be a summary sheet only, unless otherwise directed by the EPA WACOR.

etc.) will be uploaded by the project officer to a shared online folder. The contractor will request a copy of any other necessary documentation directly from the project officer.

ERs should be done remotely, but may be done on-site with permission from the WACOR. For remote ERs, the contractor shall initiate the ER using the standard email templates provided by the WAM after performing the requisite conflict of interest review. For on-site ERs, the contractor shall notify the grantee of the ER when scheduling the OSE. During all contact with individuals outside of EPA, contractor staff shall identify themselves as a contractor with EPA. All communication with the Regional Project Officers or Grant Recipients must be documented and include the WACOR, as well, in such a manner that is the same as the correspondence conveyed.

In providing ER support, the contractor may be asked to perform any or all of the following tasks to support EPA's development, issuance, and/or implementation of a National Environmental Policy Act (NEPA) determination:

- prepare or review/evaluate assessments, studies and methodologies including: environmental information documents (EIDs), draft environmental assessments (EAs), draft finding of no significant impact (FNSI) determinations, draft categorical exclusion (CE) determinations, draft environmental impact statements (EISs), and documents addressing cross-cutting environmental statutes and Executive Orders;⁵
- analyze information regarding potential impacts including environmental, cultural, and public health impacts and review/propose mitigation measures to avoid or minimize impacts;
- review/evaluate documents such as: environmental studies and assessments, environmental audits, license and permit applications, and environmental management plans prepared by other federal agencies or license/permit applicants;
- prepare or review/evaluate field surveys/investigations and assessments, which may include wetlands and floodplain determinations, biological assessments, and endangered species, archaeological, cultural and historical resources determinations;
- review/evaluate statistical analyses, simulation models (e.g., groundwater or surface water flow regimes, air quality modeling, etc.), and reports on such analyses (e.g., analyses associated with EID/EA preparation, review of EAs and related technical documents prepared by other agencies, license and permit applicants, etc.);
- conduct literature surveys and communicate⁶ with other Federal/State/local agencies to obtain information relevant to the ER, including concurrence from "cross-cutter" agencies, as appropriate;
- prepare or review public notices, summaries of public comments received, and proposed responses to public comments.
- monitor construction of SAAP projects to ensure/facilitate compliance with mitigation measures developed to comply with NEPA and cross cutter laws, including on-site

⁵ EPA's NEPA compliance responsibilities include the "cross-cutter" statutes, i.e., Endangered Species Act, National Historic Preservation Act, the Executive Order on Environmental Justice and Executive Orders on wetlands, flood plains and farmland (see Attachment 5).

⁶ The contractor shall document all communications with any Federal/ State/Local agencies, copy the project officer on all written communications, and invite the project officer to participate in any telephone conversations or in-person meetings.

construction activity monitoring by (a) certified archaeologist(s) to ensure tribal artifacts and/or remains discovered during construction are dealt with in accordance with SAAP grant conditions, NEPA decisions, and/or MOUs/MOAs between EPA, recipients and/or other Federal agencies.

No legal services shall be performed under this work assignment unless prior written approval of the Office of General Counsel is received.

The basic NEPA compliance requirements are contained in:

- National Environmental Policy Act of 1969, 42 U.S.C. 4321, as amended
- Council on Environmental Quality (CEQ) Regulations for Implementing NEPA, 40 CFR Part 1500, as amended
- EPA Regulations for Implementing NEPA, 40 CFR Part 6

A complete list of statutes, regulations, Executive Orders, and guidance documents relevant to ERs of EPA grants is provided in Appendix 5.

Deliverables for Task 4: The deliverables for Task 4 will vary by grant and may include: an EID, a draft EA,⁷ a draft FNSI, a draft CE, a report on an assessment/study/assessment reviewed or performed by the contractor, copies of concurrence letters from cross-cutters, etc. The deadline for each deliverable will also vary by grant. ERs must proceed in a timely and orderly fashion, but given the uniqueness of every ER and the need to coordinate with multiple parties (e.g., the grantee, the project officer, cross-cutter agencies, etc.) deadlines will be set on an assignment-by-assignment basis with input from the contractor.

The contractor shall maintain an administrative record of all pertinent documents related to preparation of all work done under this task. All reports, studies, articles, records of telephone conversations with experts, etc., shall be provided to the project officer upon completion of each ER.

Task 5: Grantee Technical Support and Troubleshooting

The contractor shall provide technical support and troubleshooting expertise to grantees on subject matter areas covered during the course of the evaluations, if requested. The purpose of this technical support and troubleshooting is to improve grantees' understanding of the items being reviewed so that the evaluations can be completed appropriately. Examples of technical support and troubleshooting may include identifying federal requirements (e.g., for procurement), organizing project documentation, and properly counting invoices. This list is not exhaustive and is provided to illustrate typical issues that may arise during, or as a result of, an evaluation. For estimating purposes, it is expected that the contractor shall provide technical support and troubleshooting expertise amounting to no more than 5% of the total evaluation time allocated under Tasks 1 through 3 of the work assignment.

Deliverables for Task 5: Any technical or troubleshooting support shall be noted in the evaluation report for the project required under Tasks 1 - 3 of this work assignment, as well as in the monthly progress report.

⁷ See Attachment 6 for a sample table of contents for a draft EA.

Task 6: Work Assignment Progress Meeting and Progress Reports

The contractor shall have a monthly call with the WAM to ensure that any problems related to Tasks 1 - 3 are quickly identified, discussed, and corrected with minimum delay and to minimize potential misunderstandings. The monthly calls shall range from thirty (30) minutes to one hour in length and shall typically be held on the third Thursday of the month barring any scheduling conflicts (calls can be rescheduled to another day in the same month that is convenient for both the WAM and the contractor).

The contractor shall also provide a quarterly progress tracking and summary that lists the assigned projects, evaluations scheduled and performed, any technical or troubleshooting support provided, and a listing of completed evaluation reports. A master list of all evaluations completed by the contractor shall be maintained separately, but should assimilate all new information from each Quarterly Report.

Deliverables for Task 6: Quarterly progress tracking and summary reports for this work assignment are due by:

- June 30, 2017

The master list should be provided at the conclusion of the Work Assignment.

Task 7: Transitional Support

In the event that the contract will end with the contractor, the contractor will prepare a set of transitional materials so that work can proceed regardless of who is providing the services. Transitional materials could include, but will not be limited to preparation of standard operating procedures, checklists that detail various oversight responsibilities, or a reference guide detailing the project manager's responsibilities. Specific deliverables will be based on logistical discussions between the contractor, WACOR, and alternate WACOR, and will be assigned via technical direction.

OTHER REQUIREMENTS:

All travel (other than local travel) shall be approved in advance and shall be in accordance with the contract.

GOVERNMENT FURNISHED DATA

The WACOR shall provide the contractor access to, and copies of, relevant reports, regulations, papers, and guidance/training materials published by the Agency or produced by other contractors working on behalf of the Agency.

QUALITY ASSURANCE SURVEILLANCE PLAN

This work shall be conducted under the contractor's existing Quality Management Plan and does require a supplement Quality Assurance Project Plan. The requirements do include environmental measurements, etc., therefore this supplement Programmatic Quality Assurance Project Plan (PQAPP) is required. All task(s) identified in the performance work statement above are subject to review and approval by the WACOR based on the general guidelines of the contract

quality assurance surveillance plan regarding: management and communications, cost management and control, and quality of product/service.

IX. CONFERENCE/MEETING GUIDELINES AND LIMITATIONS

The contractor shall immediately alert the WACOR to any anticipated event under the work assignment which may result in incurring an estimated \$20,000 or more cost, funded by EPA, specific to that event, meeting, training, etc. Those costs would include travel of both prime and consultant personnel, planning and facilitation costs, AV and rental of venue costs, etc. The WACOR will then prepare approval internal paperwork for the event and will advise the contractor when appropriate signatures have been obtained. At that point, effort can proceed for the event. If the event is being sponsored by another EPA organization, the organization providing the planning is responsible for the approval.

EPA SAAP Grant Evaluation Coversheet

Evaluation information:

a. Type of review (*check all that apply*):

☐ On-site evaluation ☐ Financial management review ☐ Procurement review

b. Date of review: _____

c. Date of last financial management review: _____

d. Type of on-site evaluation (*check one*): ☐ Interim ☐ Final ☐ N/A

e. Type of financial management review (*check one*): ☐ Interim ☐ Final ☐ N/A

f. Type(s) of procurement(s) reviewed (*check all that apply and specify quantity*):

☐ Procurement Systems ☐ Noncompetitive (____) ☐ Small Purchase (____)

☐ Competitive Proposal (____) ☐ Sealed Bid (____) ☐ N/A

g. List all inserts included with this evaluation: _____

h. Evaluator's Name: _____ Firm: _____

Project information:

a. Project name: _____

b. EPA grant number: _____

c. Project owner (*name of municipality or utility including state*): _____

d. Name of primary grantee contact (*include phone number and e-mail address*): _____

e. Project description (*1-2 brief sentences*): _____

f. EPA grant project/budget period: from _____ to _____

g. Date grant-funded work started/anticipated: _____

h. EPA grant amount: \$_____

i. Current total estimated project costs: \$_____

j. Estimated % EPA grant dollars requested for reimbursement (*as of date of this evaluation*):
_____%

Overall Summary and Recommendations:

- a. Did the grantee facilitate all the necessary documentation and/or access to the site to enable the evaluator to review the project in accordance with EPA's request? _____

- b. Overall impression of project (*procurements, financial management, physical progress, etc.*):

- c. Change orders/amendments (*number & brief description*): _____

- d. For on-site evaluations, list material and equipment stored on site but not yet incorporated into the construction. _____

- e. Describe any deficiencies and items to be corrected: _____

- f. Follow-up items for subsequent evaluations: _____

- g. Any other recommendations or comments: _____

- h. Other related issues that may impact project (*e.g., another related project with a significant delay, pending claims*): _____

- i. Briefly note progress grantee has made in accomplishing outputs (typically the progress in construction) and outcomes (note: the outcome will typically be met after construction is complete) specified in the EPA grant agreement: _____

On-Site Evaluation Insert

Please read all footnotes as they may contain important clarifying or supplemental information

Site Visit and Project Information

a. Facilities/sites visited: _____

b. On-site Representatives Present:

Grantee/Owner's Representative

Name _____ Firm _____ Title _____
Phone Number _____ E-mail Address _____

Owner Inspector

Name _____ Firm _____ Title _____
Phone Number _____ E-mail Address _____

A/E

Name _____ Firm _____ Title _____
Phone Number _____ E-mail Address _____

Contractor

Name _____ Firm _____ Title _____
Phone Number _____ E-mail Address _____

Other

Name _____ Firm _____ Title _____
Phone Number _____ E-mail Address _____

Other

Name _____ Firm _____ Title _____
Phone Number _____ E-mail Address _____

c. Discrepancies found between the as-built project and the Work Plan submitted to EPA:

d. Discrepancies found between the as-built project and the project plans (approved plans, shop drawings, and/or as-built plans): _____

e. Date construction started: _____

f. Estimated construction completion date (contractual): _____

g. Estimated % physical completion (as of date of this evaluation): _____ %

Site Documentation: (active construction only)

- | | | |
|----|--|----------------|
| 1. | Are approved plans (with P.E. signature and seal) and specifications on-site or readily available? | Yes/No/NA/CNBD |
| 2. | Are A/E-approved shop drawings available on-site? | Yes/No/NA/CNBD |
| 3. | Is the contractor progress schedule available? | Yes/No/NA/CNBD |
| 4. | Is the permit to construct obtained and posted? | Yes/No/NA/CNBD |
| 5. | Are Engineer's/Inspector's reports available? | Yes/No/NA/CNBD |
| 6. | Do the Engineer's/Inspector's reports include: | |
| | a) Description of work activities? | Yes/No/NA/CNBD |
| | b) Equipment log (<i>utilized</i>)? | Yes/No/NA/CNBD |
| | c) Labor Schedule? | Yes/No/NA/CNBD |
| | d) Labor Utilized? | Yes/No/NA/CNBD |
| | e) Weather and site conditions? | Yes/No/NA/CNBD |

Field Work Performance:

- | | | |
|----|--|----------------|
| 1. | Does construction appear to be in accordance with the plans, specifications, change orders, and special construction techniques? | Yes/No/NA/CNBD |
| 2. | Are erosion and sediment control measures in place (active construction only)? | Yes/No/NA/CNBD |
| 3. | Are safety precautions and procedures in place (active construction only)? | Yes/No/NA/CNBD |
| 4. | Is construction proceeding (or was construction completed) according to schedule? | Yes/No/NA/CNBD |
| 5. | Are change orders adequately tracked and on file? | Yes/No/NA/CNBD |
| 6. | Are change orders approved by the A/E? | Yes/No/NA/CNBD |
| 7. | Are impacts (<i>scope and dollar amount</i>) of change orders adequately detailed and noted? | Yes/No/NA/CNBD |
| 8. | Are impacts of change orders on construction schedule adequately detailed and noted? | Yes/No/NA/CNBD |

Administrative and Material Control Documentation: (active construction only)

- | | | |
|----|---|----------------|
| 1. | Material tracking performed? | Yes/No/NA/CNBD |
| 2. | Material certifications on file? | Yes/No/NA/CNBD |
| 3. | Manufacturer's testing reports on file? | Yes/No/NA/CNBD |
| 4. | Manufacturer's guarantees/warranties on file? | Yes/No/NA/CNBD |
| 5. | Tracking of equipment received and installed? | Yes/No/NA/CNBD |
| 6. | Shop drawings/submittals on file with a log or register? | Yes/No/NA/CNBD |
| 7. | Material and field testing reports are on file (<i>e.g., soil & compaction, pipe pressure testing, etc.</i>)? | Yes/No/NA/CNBD |

Additional Questions for a Final Evaluation:

- | | | |
|----|---|----------------|
| 1. | Engineer's certification of project completion and punch list completion is on file? | Yes/No/NA/CNBD |
| 2. | As-built plans complete and available? | Yes/No/NA/CNBD |
| 3. | Grantee's letter of final acceptance is on file? | Yes/No/NA/CNBD |
| 4. | Grantee has satisfied the output and outcome requirements specified in the EPA grant agreement? | Yes/No/NA/CNBD |

Site Map and Photographs: Provide photographs of the project site and active construction work and, where possible, include a rough layout of the project with visited areas clearly labeled and correlated to the photographs.

Procurement System Review Insert

Please read all footnotes as they may contain important clarifying or supplemental information

Procurement System Information:

- a. Grantee representative responsible for procurements:

Name _____ Title _____ Dept. _____
Phone Number _____ E-mail Address _____

Procurement System Review Checklist:

Contract Administration Standards

- | | |
|--|----------------|
| 1. Does the grantee maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders? | Yes/No/NA/CNBD |
| 2. Does the grantee have contract administration standards that ensure that goods and services are received, approved, and acceptable before payments are made? | Yes/No/NA/CNBD |
| 3. Does the grantee maintain a written code of standards of conduct governing the performance of their employees engaged in the award and administration of contracts? | Yes/No/NA/CNBD |
| 4. Does the grantee have written standards of conduct that address potential conflict of interests and include disciplinary action for any individual engaged in conducting and administering contracts or sub awards? | Yes/No/NA/CNBD |

General Procurement Standards

- | | |
|---|----------------|
| 5. Does the grantee provide for a review of proposed procurements to avoid purchase of unnecessary or duplicative goods and services? | Yes/No/NA/CNBD |
| 6. Does the grantee maintain procurement standards to review lease vs. purchase alternatives (when appropriate)? | Yes/No/NA/CNBD |
| 7. Does the grantee maintain records sufficient to detail the significant history of procurement, including rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price? | Yes/No/NA/CNBD |
| 8. Does the grantee maintain procurement standards that include guidelines for documenting contract files? | Yes/No/NA/CNBD |
| 9. Does the grantee maintain procurement standards that include an assessment of contractor responsibility including a search in the Excluded Parties List (https://www.sam.gov/portal/public/SAM)? | Yes/No/NA/CNBD |
| 10. Does the grantee maintain procurement standards that stipulate that no contract will be entered into with parties that are debarred, suspended, or excluded from Federal assistance programs? | Yes/No/NA/CNBD |

- | | |
|---|----------------|
| 11. Does the grantee have protest procedures to handle and resolve disputes relating to their procurements? | Yes/No/NA/CNBD |
| 12. Does the grantee maintain procurement standards that require all contracts and agreements contain termination provisions and Federal access to contract records? | Yes/No/NA/CNBD |
| 13. Does the grantee maintain procurement standards that require solicitations have: a clear and accurate description of the services or items to be procured; a clear and accurate scope of work; minimum qualitative technical requirements; and features for materials, products, and services prospective bidders must meet? | Yes/No/NA/CNBD |
| 14. Does the grantee maintain procurement standards that seek full and open competition, without undue restrictions, including the use of statutorily or administratively imposed geographical preferences? | Yes/No/NA/CNBD |
| 15. Does the grantee maintain procurement standards that specify the minimum time period to be provided for the preparation of proposals and bids? If so, specify here: _____ | Yes/No/NA/CNBD |
| 16. Does the grantee maintain procurement standards that ensure required contract provisions (listed below) are included in the contract specifications? | |
| (a) Executive Order 11246 of September 24, 1965, entitled "Equal Employment Opportunity," as amended by Executive Order 11375 of October 13, 1967, and as supplemented in Department of Labor regulations (41 CFR chapter 60). (All construction contracts awarded in excess of \$10,000 by grantees and their contractors or subgrantees) | Yes/No/NA/CNBD |
| (b) Sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327–330) as supplemented by Department of Labor regulations (29 CFR part 5). (Construction contracts awarded by grantees and subgrantees in excess of \$2000, and in excess of \$2500 for other contracts which involve the employment of mechanics or laborers) | Yes/No/NA/CNBD |
| (c) All applicable standards, orders, or requirements issued under section 306 of the Clean Air Act (42 U.S.C. 1857(h)), section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738. (Contracts, subcontracts, and subgrants of amounts in excess of \$100,000) | Yes/No/NA/CNBD |
| (d) Mandatory standards and policies relating to energy efficiency which are contained in the State energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94–163, 89 Stat. 871) | Yes/No/NA/CNBD |
| (e) Access by the grantee, the subgrantee, the Federal grantor agency, the Comptroller General of the United States, or any of their duly authorized representatives to any books, documents, papers, and records of the contractor which are directly pertinent to that specific contract for the purpose of making audit, examination, excerpts, and transcriptions | Yes/No/NA/CNBD |

- | | |
|---|----------------|
| (f) Retention of all required records for three years after grantees or subgrantees make final payments and all other pending matters are closed | Yes/No/NA/CNBD |
| (g) Awarding agency requirements and regulations pertaining to: (a) reporting; (b) patent rights with respect to any discovery or invention which arises or is developed in the course of or under such contract; and (c) copyrights and rights in data | Yes/No/NA/CNBD |
| 17. (a) Does the grantee maintain procurement standards that specify the type of contract to be awarded for different procurement types? | Yes/No/NA/CNBD |
| (b) Are the specified contracts appropriate? | Yes/No/NA/CNBD |
| (c) Is the use of time and material contracts properly restricted? | Yes/No/NA/CNBD |
| 18. Does the grantee maintain procurement standards that require the grantee to perform and document a cost or price analyses, as applicable, for all procurements? | Yes/No/NA/CNBD |

Disadvantaged Business Enterprise (DBE) Standards

- | | |
|--|----------------|
| 19. Does the grantee maintain procurement standards that ensure that DBEs are made aware of contracting opportunities to the fullest extent practicable: | |
| (a) Does the grantee maintain procurement standards that stipulate advertisement in trade journals or other sources target towards DBEs? | Yes/No/NA/CNBD |
| (b) Does the grantee maintain procurement standards that stipulate direct solicitation of DBEs? | Yes/No/NA/CNBD |
| (c) Does the grantee maintain procurement standards that provide for other outreach/recruitment activities? If "Yes," explain:
<hr/> | Yes/No/NA/CNBD |
| 20. Does the grantee maintain procurement standards that arrange time frames for contracts and establish delivery schedules that encourage or enable participation by DBEs (i.e. allowing 30 days for proposal/bid development whenever possible)? | Yes/No/NA/CNBD |
| 21. Does the grantee maintain procurement standards that enable prime contractors to subcontract with DBEs (i.e. by dividing work into smaller tasks/quantities)? | Yes/No/NA/CNBD |
| 22. Does the grantee maintain procurement standards that encourage contracting with a consortium of DBEs when a contract is too large for a single DBE firm to handle individually? | Yes/No/NA/CNBD |
| 23. Does the grantee maintain procurement standards that call upon the services of the Small Business Administration and Minority Business Development Agency for identifying and recruiting DBEs? | Yes/No/NA/CNBD |

Noncompetitive Procurement Standards

- | | | |
|-----|--|----------------|
| 24. | Does the grantee maintain procurement standards consistent with minimal federal requirements for noncompetitive (sole-source) procurement, including cost analysis and profit negotiation? | Yes/No/NA/CNBD |
| 25. | Does the grantee maintain procurement standards that require documentation of: any lack of competition; any justification for sole-source procurement; and the basis for award and price? | Yes/No/NA/CNBD |

Small Purchase Procurement Standards

- | | | |
|-----|---|----------------|
| 26. | Does the grantee specify an acquisition threshold for small purchase procurement? | Yes/No/NA/CNBD |
| 27. | Does the grantee have requirements in place which preclude the parceling of same, like or related items for small purchase procurement? | Yes/No/NA/CNBD |

Competitive Proposal Procurement Standards

- | | | |
|-----|--|----------------|
| 28. | Does the grantee maintain procurement standards consistent with minimal federal requirements for competitive proposal procurement, including the need for identifying all evaluation factors and their relative importance? | Yes/No/NA/CNBD |
| 29. | Does the grantee maintain procurement standards with the requirement to advertise (publish and/or solicit) requests for proposals/qualifications from a sufficient number of current and qualified sources? | Yes/No/NA/CNBD |
| 30. | Does the grantee maintain procurement standards that require profit negotiation when there is no price competition? | Yes/No/NA/CNBD |
| 31. | Does the grantee maintain procurement standards that limit qualifications-based procurement, without consideration of price, to A/E professional services only? | Yes/No/NA/CNBD |
| 32. | Does the grantee maintain procurement standards that allow for retention of an A/E services provider during construction only when either (a) the grantee received a planning or design grant from EPA and procured the A/E firm for that work in accordance with EPA regulations, (b) EPA approved noncompetitive procurement for these services, OR (c) the initial request for planning/design proposals stated the possibility of awarding a construction services sub agreement, the A/E firm was procured in accordance with EPA regulations, there is no conflict of interest between the grantee (including any of the grantee's employees, officers, or agents) and the A/E firm, AND the grantee (including any of the grantee's employees, officers, or agents) did not receive any gratuities or favors from the A/E firm. | Yes/No/NA/CNBD |

Sealed Bid Procurement Standards

- | | |
|---|----------------|
| 33. Does the grantee maintain procurement standards that provide for contract award to the lowest responsive and responsible bidder? | Yes/No/NA/CNBD |
| 34. Does the grantee maintain procurement standards that provide for the opening of bids the time and place specified in the IFB? | Yes/No/NA/CNBD |
| 35. Does the grantee maintain procurement standards that provide for a minimum of two bids? | Yes/No/NA/CNBD |
| 36. Does the grantee maintain procurement standards that specify the minimum bonding requirements (bid, performance and payment bonds)? | Yes/No/NA/CNBD |

Competitive Proposal Procurement Review Insert

Please read all footnotes as they may contain important clarifying or supplemental information

Project Name: XXXXX

General Contract Information:

a. Contractor name and representative:

Name _____ Firm _____ Title _____
Phone Number _____ E-mail Address _____

b. Contractor on Excluded Parties List? _____

c. Type of contract: _____

d. Contract number: _____

e. Contract amount (original): _____ (current): _____

f. Date contract awarded: _____

g. Request for Proposals (RFP) or Request for Qualifications (RFQ): _____

h. Number of advertisements (including repeat advertisements in the same source): _____

i. Number of days RFP/RFQ was publically advertised (count from date of first publication to closing date): _____

j. Number of potential firms directly solicited (Total) and number of Disadvantaged Business Enterprises (DBEs) firms directly solicited: _____ Total _____ DBEs

k. Number of days between last direct solicitation and closing date: _____

l. Number of proposals received (Total) and number of proposals received from DBE firms: _____ Total _____ DBEs

Procurement Review Checklist:

- | | |
|--|----------------|
| 1. Did grantee perform an independent estimate of contract cost pre-procurement? Explain basis for estimate: _____ | Yes/No/NA/CNBD |
| 2. Is the work described in the RFP/RFQ consistent with the Work Plan submitted to EPA? | Yes/No/NA/CNBD |
| 3. Does the RFP/RFQ identify the method of award and provide for award only to responsible contractors? | Yes/No/NA/CNBD |
| 4. Does the RFP/RFQ identify the evaluation factors and their relative importance? | Yes/No/NA/CNBD |
| 5. Is price included as an evaluation factor? | Yes/No/NA/CNBD |
| 6. Does the RFP/RFQ identify the type of contract to be awarded? | Yes/No/NA/CNBD |

Attachment 3a

- | | |
|---|----------------|
| 7. Does the RFP/RFQ include the need to comply with all applicable Acts, Executive Orders, and DBE rules? | Yes/No/NA/CNBD |
| 8. Does the RFP/RFQ include all language required by the Terms and Conditions of the grant award? | Yes/No/NA/CNBD |
| 9. Does the RFP/RFQ place requirements on contractors that could restrict competition? If "Yes," Explain: _____ | Yes/No/NA/CNBD |
| 10. a) Did grantee select the responsible contractor having most advantageous proposal? | Yes/No/NA/CNBD |
| b) Was price considered as a factor in the selection? | Yes/No/NA/CNBD |
| 11. Did grantee perform a cost analysis to determine reasonableness of cost? | Yes/No/NA/CNBD |
| 12. Did grantee negotiate profit? | Yes/No/NA/CNBD |
| 13. Is the contract type either fixed price or cost plus fixed fee with a ceiling? | Yes/No/NA/CNBD |

Noncompetitive Procurement Review Insert

Please read all footnotes as they may contain important clarifying or supplemental information.

Project Name: XXXXX

General Contract Information:

- a. Contractor name and representative:

Name _____ Firm _____ Title _____
Phone Number _____ E-mail Address _____

- b. Contractor on Excluded Parties List? _____

- c. Type of contract: _____

- d. Contract number: _____

- e. Contract amount (original): _____ (current): _____

- f. Date contract awarded: _____

- g. Justification for a noncompetitive award: _____

Procurement Review Checklist:

- | | |
|---|----------------|
| 1. Did grantee perform an independent estimate of project cost pre-procurement? | Yes/No/NA/CNBD |
| 2. Is the item to be procured available only from a single source? | Yes/No/NA/CNBD |
| 3. Is there a public exigency or emergency that will not permit a delay resulting from competitive solicitation? | Yes/No/NA/CNBD |
| 4. Is another justification for noncompetitive procurement provided? If "Yes," explain: _____ | Yes/No/NA/CNBD |
| 5. a) Do the contract/technical specifications clearly describe the project scope (extent with itemized quantities) and reference industrial standards for material quality/construction practices? | Yes/No/NA/CNBD |
| b) Are the items (type/quantity) consistent with the Work Plan submitted to EPA? | Yes/No/NA/CNBD |
| 6. Do the contract specifications include the need to comply with all applicable Acts, Executive Orders, and Disadvantaged Business Enterprise rules? | Yes/No/NA/CNBD |
| 7. Do the contract specifications include all language required by the Terms and Conditions of the grant award? | Yes/No/NA/CNBD |
| 8. Did grantee perform a cost analysis and negotiate profit? | Yes/No/NA/CNBD |
| 9. Is the contract type either fixed price or cost plus fixed fee with a ceiling? | Yes/No/NA/CNBD |

Sealed Bid Procurement Review Insert

Please read all footnotes as they may contain important clarifying or supplemental information

Project Name: XXXXX

General Contract Information:

- a. Contractor name and representative:

Name _____ Firm _____ Title _____
Phone Number _____ E-mail Address _____

- b. Contractor on Excluded Parties List? _____

- c. Type of contract: _____

- d. Contract number: _____

- e. Contract amount (original): _____ (current): _____

- f. Date contract awarded: _____

- g. Number of advertisements (including repeat advertisements in the same source): _____

- h. Number of days Invitation for Bid was publically advertised (count from date of first publication to bid opening date): _____

- i. Number of potential contractors directly solicited (Total) and number of Disadvantaged Business Enterprises (DBEs) directly solicited: _____ Total _____ DBEs

- j. Number of days between last direct solicitation and bid opening date: _____

- k. Number of bids received (Total) and number of bids received from DBEs:
_____ Total _____ DBEs

Procurement Review Checklist:

- | | |
|---|----------------|
| 1. Did grantee perform an independent estimate of project cost pre-procurement? | Yes/No/NA/CNBD |
| 2. Is the project (type/objective) described in the Notice to Bidders consistent with the Work Plan submitted to EPA? | Yes/No/NA/CNBD |
| 3. Does the Notice to Bidders identify the time and place of bid opening? | Yes/No/NA/CNBD |
| 4. Does the Notice to Bidders advertise that the lowest, responsive, and responsible bidder will be selected and clearly establish the basis for determining lowest bid and responsiveness? | Yes/No/NA/CNBD |
| 5. Does the Notice to Bidders identify the type of contract to be awarded? | Yes/No/NA/CNBD |
| 6. Were all addenda to the bid package acknowledged by all bidders? | Yes/No/NA/CNBD |
| 7. Do the contract specifications include the bonding requirements? | Yes/No/NA/CNBD |

- | | | |
|-----|--|----------------|
| 8. | Do the contract specifications include the need to comply with all applicable Acts, Executive Orders, and DBE rules? | Yes/No/NA/CNBD |
| 9. | Do the contract specifications include all language required by the Terms and Conditions of the grant award? | Yes/No/NA/CNBD |
| 10. | a) Do the contract/technical specifications clearly describe the project scope (extent with itemized quantities) and reference industrial standards for material quality/construction practices? | Yes/No/NA/CNBD |
| | b) Are the items (type/quantity) consistent with the Work Plan submitted to EPA? | Yes/No/NA/CNBD |
| 11. | Do the contract specifications place requirements on contractors that could restrict competition? If "Yes," Explain: _____ | Yes/No/NA/CNBD |
| 12. | Were bids publically opened at the prescribed time and place? | Yes/No/NA/CNBD |
| 13. | Did the grantee receive at least two bids? | Yes/No/NA/CNBD |
| 14. | Did grantee select the lowest bid? If "No," Explain: _____ | Yes/No/NA/CNBD |
| 15. | Did grantee perform a price analysis (itemized tabulation of all bid items and summary of bids from all bidders) to determine reasonableness of cost? | Yes/No/NA/CNBD |
| 16. | Is approval of contractor selection documented? | Yes/No/NA/CNBD |
| 17. | Is the contract a fixed-price (lump sum or unit price) contract? | Yes/No/NA/CNBD |
| 18. | Is the contract amount in accordance with the selected contractor's bid? | Yes/No/NA/CNBD |
| 19. | Does the contract include all required bonds (5% bid bond, 100% performance bond, 100% payment bond)? | Yes/No/NA/CNBD |
| 20. | Is a Notice to Proceed signed and dated by both parties? | Yes/No/NA/CNBD |

Small Purchase Procurement Review Insert

Please read all footnotes as they may contain important clarifying or supplemental information

Project Name: XXXXX

General Contract Information:

- a. Contractor name and representative:

Name _____ Firm _____ Title _____
Phone Number _____ E-mail Address _____

- b. Contractor on Excluded Parties List? _____

- c. Type of contract: _____

- d. Contract number: _____

- e. Contract amount (original): _____ (current): _____

- f. Date contract awarded: _____

- g. Number of quotes solicited and received: _____ Solicited _____ Received

Procurement Review Checklist:

- | | |
|---|----------------|
| 1. Did grantee perform an independent estimate of project cost pre-procurement? | Yes/No/NA/CNBD |
| 2. Is the procurement for less than \$100,000? | Yes/No/NA/CNBD |
| 3. Did grantee request quotes from more than one qualified source? | Yes/No/NA/CNBD |
| 4. a) Do the contract/technical specifications clearly describe the project scope (extent with itemized quantities) and reference industrial standards for material quality/construction practices? | Yes/No/NA/CNBD |
| b) Are the items (type/quantity) consistent with the Work Plan submitted to EPA? | Yes/No/NA/CNBD |
| 5. Do the contract specifications include the need to comply with all applicable Acts, Executive Orders, and Disadvantaged Business Enterprise rules? | Yes/No/NA/CNBD |
| 6. Do the contract specifications include all language required by the Terms and Conditions of the grant award? | Yes/No/NA/CNBD |
| 7. Did grantee perform a price analysis to determine reasonableness of cost? | Yes/No/NA/CNBD |
| 8. Did grantee select the lowest quote or provide justification for selecting other than the lowest quote? | Yes/No/NA/CNBD |
| 9. Is the contract type either fixed price or cost plus fixed fee with a ceiling? | Yes/No/NA/CNBD |

Financial Management Review Insert

Please read all footnotes as they may contain important clarifying or supplemental information.

Accounting Overview

- | | |
|---|----------------|
| 1. Do claimed costs correctly correspond to the eligible cost categories in the grant agreement? | Yes/No/NA/CNBD |
| 2. Do claimed costs correctly correspond to the eligible work as described in the EPA Approved work plan? | Yes/No/NA/CNBD |

Accounting of Procured Services:

- | | |
|--|----------------|
| 1. Is the grantee claiming only those costs incurred through contracts for which EPA (or a representative of EPA) has reviewed procurement? | Yes/No/NA/CNBD |
| 2. Does accounting for this project separate ineligible items (<i>if applicable</i>) and list engineering costs, administrative costs, legal costs, and actual construction costs by contract? | Yes/No/NA/CNBD |
| 3. Do contractor's applications for payment identify: | |
| a) Payment amount? | Yes/No/NA/CNBD |
| b) Percent or items of work complete? | Yes/No/NA/CNBD |
| c) Materials on-site? | Yes/No/NA/CNBD |
| d) Change orders? | Yes/No/NA/CNBD |
| e) Verified by A/E? | Yes/No/NA/CNBD |
| 4. Do A/E invoices for payment identify: | |
| a) Payment amount? | Yes/No/NA/CNBD |
| b) Services provided? | Yes/No/NA/CNBD |
| c) Percent completed or hours billed? | Yes/No/NA/CNBD |
| d) Amendments | Yes/No/NA/CNBD |
| 5. Are all contractor and A/E invoices and payments documented? | Yes/No/NA/CNBD |

Accounting of Force Account:

- | | |
|---|----------------|
| 1. Are force account charges included in grantee's reimbursement requests? | Yes/No/NA/CNBD |
| 2. Are the grantee's reimbursement requests supported by: | |
| a) Time sheets for direct labor? | Yes/No/NA/CNBD |
| b) Invoices for material purchase? | Yes/No/NA/CNBD |
| c) Invoices for equipment usage? | Yes/No/NA/CNBD |
| 3. Do the grantee's time sheets list work under this grant separately from other work done by employees? | Yes/No/NA/CNBD |
| 4. Is the grantee adhering to its EPA-approved cost allocation plan/indirect cost proposal? | Yes/No/NA/CNBD |
| 5. Is the grantee using an independent resident inspector to inspect construction work? | Yes/No/NA/CNBD |
| 6. Does the grantee purchase equipment and materials through an annual contract with a specific vendor? Explain how the grantee procures materials/equipment: | Yes/No/NA/CNBD |
| <hr/> | |

Disbursements:

- | | |
|--|----------------|
| 1. Are invoices properly attributed to the appropriate funding sources (<i>i.e., not double-counted</i>)? | Yes/No/NA/CNBD |
| 2. Are requested grant disbursements from EPA adequately documented and consistent (<i>within 10%</i>) with work completed and/or material delivered and stored? | Yes/No/NA/CNBD |
| 3. Is reimbursement being requested based on incurred cost and not earlier? | Yes/No/NA/CNBD |
| 4. Are all claimed costs (including pre-award costs) within the grant/project period? | Yes/No/NA/CNBD |
| 5. Are correct funding percentages being maintained? (<i>i.e., limited to the % specified in the EPA grant</i>) | Yes/No/NA/CNBD |

ATTACHMENT 5

Environmental Review Statutes, Regulations, Executive Orders, and Guidance

Statutes

1. National Environmental Policy Act (NEPA), 42 U.S.C 4321 et seq.
2. Section 309 and/or other sections of the Clean Air Act
3. Section 404 and/or other sections of the Clean Water Act
4. Section 102 and/or other sections of the Marine Protection, Research, and Sanctuaries Act
5. National Historic Preservation Act
6. Archeological and Historic Preservation Act
7. Native American Graves Protection and Repatriation Act
8. American Indian Religious Freedom Act
9. Endangered Species Act
10. Marine Mammals Protection Act
11. Magnuson-Stevens Fishery Conservation and Management Act
12. Fish and Wildlife Coordination Act
13. Migratory Bird Treaty Act
14. Bald and Golden Eagle Protection Acts
15. Coastal Zone Management Act
16. Coastal Barrier Resources Act
17. Safe Drinking Water Act
18. Farmland Protection Policy Act
19. Wild and Scenic Rivers Act
20. Wilderness Act
21. Rivers and Harbor Act
22. Land and Water Conservation Fund Act
23. Noise Control Act
24. Resource Conservation and Recovery Act
25. Comprehensive Environmental Response, Compensation and Liability Act
26. Emergency Planning and Community Right-to-Know Act
27. Pollution Prevention Act
28. Occupation Safety and Health Act
29. Antarctic Science, Tourism, and Conservation Act
30. Trade Act of 2002

Regulations

1. CEQ regulations implementing NEPA, 40 CFR Part 1500
2. EPA regulations implementing NEPA, 40 CFR Part 6
3. EPA regulations on ocean dumping, 40 CFR Parts 220-228
4. EPA regulations on disposal of dredged or fill material, 40 CFR Parts 230-231
5. EPA regulations for the Municipal Wastewater Treatment Works Construction Grants Program, 40 CFR Part 35
6. EPA regulations for Public Participation in programs under the Resource Conservation and Recovery Act, Safe Drinking Water Act, and Clean Water Act, 40 CFR Part 25
7. EPA regulations on the import and export of hazardous wastes, 40 CFR Parts 260-265

8. U.S. Army Corps of Engineers regulations, 33 CFR 320-330

Executive Orders

1. EO 11988 -- Floodplain Management
2. EO 11990 -- Protection of Wetlands
3. EO 12898 -- Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations
4. EO 13045 -- Protection of Children from Environmental Health Risks and Safety Risks
5. EO 11593 -- Protection and Enhancement of the Cultural Environment
6. EO 13175 -- Consultation and Coordination with Indian Tribal Governments
7. EO 13007 -- Indian Sacred Sites
8. EO 13186 -- Responsibility of Federal Agencies to Protect Migratory Birds
9. EO 13089 -- Coral Reef Protection
10. EO 13101 -- Greening the Government Through Waste Prevention, Recycling, and Federal Acquisition
11. EO 13148 -- Greening The Government Through Leadership in Environmental Management
12. EO 13123 -- Greening the Government Through Efficient Energy Management
13. EO 13141 -- Environmental Review of Trade Agreements

Guidance

1. U.S. Army Corps of Engineers, Wetlands Delineation Manual, 1987
2. U.S. Fish and Wildlife Service, Habitat Evaluation Procedures (HEP)
3. U.S. Army Corps of Engineers, Hydrogeomorphic (HGM) Approach for Assessing Wetland Functions

ATTACHMENT 6
Sample Table of Contents for Environmental Assessments

Executive Summary

- 1. Introduction**
 - 1.1 Introduction**
 - 1.2 Background**
- 1. Proposed Action**
 - 1.1 Summary of the Proposed Action**
 - 1.2 Effluent Limitations and New Source Performance Standards under the MSGP**
 - 1.3 Documents Incorporated by Reference**
- 3. Affected Environment**
 - 3.1 Introduction**
 - 3.2 Physical Resources**
 - 3.2.1 Earth Resources
 - 3.2.2 Water Resources
 - 3.2.3 Air Quality
 - 3.2.4 Noise Environment
 - 3.3 Biological Resources**
 - 3.3.1 Vegetation
 - 3.3.2 Wildlife
 - 3.3.3 Threatened & Endangered Species
 - 3.3.4 Species of Concern
 - 3.4 Socioeconomic Resources**
 - 3.4.1 Land Use
 - 3.4.2 Population and Housing
 - 3.4.3 Transportation
 - 3.4.4 Demographics
 - 3.4.5 Regional Economy
 - 3.4.6 Cultural Resources
 - 3.4.7 Recreation
 - 3.4.8 Environmental Justice
- 4. Environmental Consequences**
 - 4.1 Introduction**
 - 4.2 Physical Resources**
 - 4.2.1 Earth Resources
 - 4.2.2 Water Resources
 - 4.2.3 Air Quality
 - 4.2.4 Noise Environment
 - 4.3 Biological Resources**
 - 4.3.1 Vegetation
 - 4.3.2 Wildlife
 - 4.3.3 Threatened & Endangered Species
 - 4.3.4 Species of Concern
 - 4.4 Socioeconomic Resources**
 - 4.4.1 Land Use
 - 4.4.2 Population and Housing
 - 4.4.3 Transportation
 - 4.4.4 Demographics
 - 4.4.5 Regional Economy
 - 4.4.6 Cultural Resources
 - 4.4.7 Recreation
 - 4.4.8 Environmental Justice
- 5. Cumulative Impacts**